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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 2001\_0429A

First Named Inventor : Koichi MORIOKA et al.

Title: OPTICAL DISC, REPRODUCTION APPARATUS, AND  
IDENTIFIER SELECTING APPARATUS

Express Mail Label No.:

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☐ Small Entity Status is hereby asserted.
3. ☒ Specification [Total Pages: 47]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Sequence Listing, a table, or a computer program listing appendix.
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets: 22]
5. ☒ Oath or Declaration [Total Pages : 3]
  - a.1. ☐ Newly executed (original or copy)
  - a.2. ☒ Unexecuted
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named  
in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet (see 37 CFR 1.76)

 ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231
7. ☐ CD-ROM or CD-R in duplicate, large table or computer  
program (Appendix)

8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)  
☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449  
☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically  
itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other **COVER LETTER FOR APPLICATION FILED WITHOUT  
EXECUTED DECLARATION**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below, and in a preliminary amendment, or  
in an Application Data Sheet :
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.

Prior Application Information: Examiner Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by  
reference therein. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS



000513

PATENT TRADEMARK OFFICE

By:

Michael S. Huppert  
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April 12, 2001

 THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEE FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975.

04/12/01

10860 U.S. PTO

11087 U.S. PTO  
09/832960

04/12/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Koichi MORIOKA et al. :  
Serial No. NEW : Attn: APPLICATION BRANCH  
Filed April 12, 2001 : Attorney Docket No. 2001\_0429A  
OPTICAL DISC, REPRODUCTION APPARATUS,  
AND DISC IDENTIFIER SELECTING APPARATUS

**PATENT OFFICE FEE TRANSMITTAL FORM**

Assistant Commissioner for Patents,  
Washington, DC 20231

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEE FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975.

Sir:

Attached hereto is a check in the amount of \$950.00 to cover Patent Office fees relating to filing the following attached papers:

New application ..... \$710.00  
Assignment for Recordal ..... \$  
Additional Claims Fee:  
Excess of Twenty ..... \$  
Independent ..... \$240.00  
Multiple Dependent Fee ..... \$

A duplicate copy of this paper is being submitted for use in the Accounting Division, Office of Finance.

*The Commissioner is authorized to charge any deficiency or to credit any overpayment associated with this communication to Deposit Account No. 23-0975, with the EXCEPTION of deficiencies in fees for multiple dependent claims in new applications.*

Respectfully submitted,

Koichi MORIOKA et al.

By Michael S. Huppert  
Michael S. Huppert  
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April 12, 2001

[Check No. 43913]

2001\_0429A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Koichi MORIOKA et al. : Attn: APPLICATION BRANCH  
Serial No. NEW : Docket No. 2001\_0429A  
Filed April 12, 2001 :

OPTICAL DISC, REPRODUCTION APPARATUS,  
AND DISC IDENTIFIER SELECTING APPARATUS

**COVER LETTER FOR APPLICATION FILED  
WITHOUT EXECUTED DECLARATION**

Assistant Commissioner for Patents,  
Washington, DC 20231

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEE FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975.

Sir:

The above-identified application has been submitted without an executed oath or declaration pursuant to 37 CFR 1.41(c).

It is respectfully requested that this application be assigned a serial number and awarded a filing date pursuant to 37 CFR 1.53.

A duly executed oath or declaration pursuant to 37 CFR 1.63 will be submitted after notification by the U.S. Patent and Trademark Office pursuant to 37 CFR 1.53(f).

A non-executed copy of the Declaration and Power of Attorney, containing the inventorship information, is attached. It is respectfully requested that all communications be directed to the firm indicated on the attached Declaration and Power of Attorney, namely:

WENDEROTH, LIND & PONACK, L.L.P.  
2033 K Street, N.W., Suite 800  
Washington, D.C. 20006

The required U.S. Patent and Trademark Office Filing Fee is submitted herewith.

Respectfully submitted,

Koichi MORIOKA et al.

By Michael S. Huppert

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